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ATTORNEY'S DOCKET NO: C01104/70076

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling, et al.
Serial No: 09/923,223
Filed: August 6, 2001
For: ULTRAVIOLET LIGHT EMITTING DIODE SYSTEMS AND METHODS
Examiner: Unassigned
Art Unit: 2811

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on the 1st day of March, 2002.

Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing are the following documents:

- [X] STATEMENT FILED PURSUANT TO THE DUTY OF DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98 PTO FORM 1449 AND REFERENCES CITED
- [X] RETURN POST CARD

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

No check is enclosed. If a fee is needed, it may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

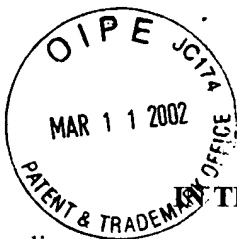
Kevin J. Dowling, et al, Applicant(s)

By:

Joseph Teja, Jr., Reg. No. 45,157
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600 Atlantic Avenue
Boston, MA 02210
Telephone (617) 720-3500
Attorneys for Applicants

Docket No. C01104/70076
Dated: March 1, 2002
X (NDD)

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Robert Lucarelli

Commissioner for Patents
Washington, D.C. 20231

STATEMENT FILED PURSUANT TO THE DUTY OF DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicants request consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

PART II: Information Cited

The Applicants hereby make of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

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PART III: Remarks

Documents cited on the attached form PTO-1449 (modified) are enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicants make no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicants, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

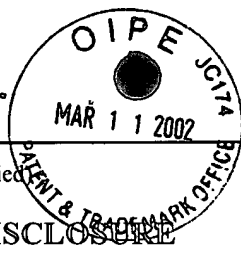
Kevin J. Dowling, et al, Applicant(s)

By: _____

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Joseph Teja, Jr., Reg. No. 45,157
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Telephone (617) 720-3500
Attorneys for Applicants

Docket No. C01104/70076

Dated: March 1, 2002



FORM PTO-1449/A and B (Modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT			APPLICATION NO.: 09/923,223	ATTY. DOCKET NO.: C01104/70076	
			FILING DATE: August 6, 2001		
			APPLICANT: Kevin J. Dowling, et al.		
			GROUP ART UNIT: 2811	EXAMINER: Unassigned	
Sheet	1	of	2		

U.S. PATENT DOCUMENTS

Examiner's Initials#	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
		US 2001/0048598	A1	Fang, et al.	12/06/2001

FOREIGN PATENT DOCUMENTS

Examiner's Initials#	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/Country	Number	Kind Code			

OTHER ART — NON PATENT LITERATURE DOCUMENTS

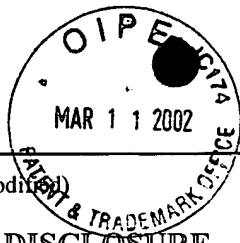
Examiner's Initials#	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
		S. DenBaars, Site: Nichia Chemicals Industries Ltd.; Information from website www.ttec.org/hte_j/sitrep/nci.htm , pp. 1-4	
		High Power Violet Laser Diode, Specifications of NLHV3000M Laser Diode; Information from website www.nichia.co.jp/vlaser3000-e.htm , pp. 1-4	
		EPA Guidance Manual, 815-R-99-014, (April 1999), Chapter 8; Information from website www.epa.gov/safewater/mdbp/mdbptg.html/#disinfect , pp. 8-1 to 8-25	
		Light-Emitting Diodes for Plant Growth; Information from website http://technology.ksc.nasa.gov/WWWaccess/techreports/94report/1sf/1s04.html , pp. 1	
		Art Zone, Ultra Violet Photography; Information from website www.artzone.gr/zuvhe.htm , pp. 1-3	

EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. _____, filed _____, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]



FORM PTO-1449/A and B (Modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT				APPLICATION NO.: 09/923,223		ATTY. DOCKET NO.: C01104/70076			
				FILING DATE: August 6, 2001					
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				GROUP ART UNIT: 2811		EXAMINER: Unassigned			
Sheet	2	of	2						

OTHER ART — NON PATENT LITERATURE DOCUMENTS

Examiner's Initials#	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
		Aerobiological Engineering, Ultraviolet Germicidal Irradiation; Information from website www.engr.psu.edu/ae/wjk/wjkuvgi.html , pp. 1-12	
		Shinji Tazawa, Light Source Division, Iwasaki Electric Co., Ltd., Effects of Various Radiant Sources on Plant Growth (Part 2); Information from website http://ss.jircas.affrc.go.jp/engpage/jarq/33-3/tazawa2/tazawa2.htm , pp. 1-4	
		USDA NRICGP Abstracts of Funded Research, Plant Growth and Development; Information from website www.reeusda.gov/crgam/nri/pubs/archive/abstracts/abstract97/plgrwdev.htm , pp. 1-26	
		Marianne Ames and Wayne S. Johnson, Hydrofarm Horticultural Products, A Review of Factors Affecting Plant Growth; Information from website http://www.hydrofarm.com/content/articles/factors_plant.html , pp. 1-19	
		ScienceDaily, Pasteurization Via Ultraviolet Light Could Zap Bacterial Contamination of Fresh Cider and Fruit Juices; Information from website http://www.sciencedaily.com/releases/1998/01/980127065910.htm , posted 1/27/98, pp. 1-3	
		Birds & Lighting, The Ultraviolet Myth: Lighting and Proper Diet; Information from website http://www.users.mis.net/~pthrush/lighting/uvmyth.html , pp. 1-3	
		Birds & Lighting, Plain Common Sense vs. Scientific Theoretical Irrationality; Information from website http://www.users.mis.net/~pthrush/lighting/ott.html , pp. 1-16	
		Bird Hazards; Information from website http://www.tc.gc.ca/aviation/aerodrme/birdstke/info/hazard.htm , pp. 1-3	
		Miles Maiden, A Pen That Purifies, New York Times Article published January 20, 2002, Money and Business Section, page 2	

EXAMINER	DATE CONSIDERED
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